

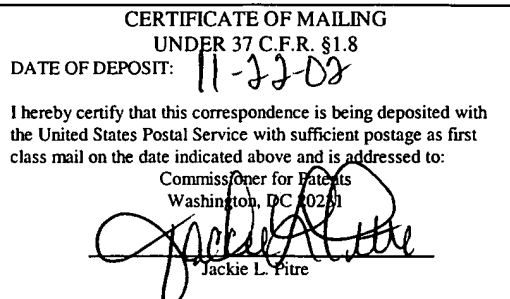
GP 2163  
PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.: 09/970,078  
Filed: October 3, 2001  
Inventor(s):  
John Bunda

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§ Examiner: Unknown  
§ Group/Art Unit: 2163  
§ Atty. Dkt. No: 5226-02200  
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Title: METHODS AND  
SYSTEMS FOR  
MANAGING A  
PORTFOLIO OF  
SECURITIES

INFORMATION DISCLOSURE STATEMENT

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Technology Center 2100

Commissioner for Patents  
Washington, D.C. 20231

Sir:

It is respectfully requested that this Information Disclosure Statement be entered and the documents listed on attached Form PTO-1449 (references D1-D4) be considered by the Examiner and made of record. Copies of the listed documents are enclosed for the convenience of the Examiner.

Should any fees be required, the Commissioner is authorized to charge said fees to Conley, Rose & Tayon, P.C. Deposit Account No. 50-1505/5226-02200/EBM.

Respectfully submitted,

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GROUP 3600

**Form PTO-1449** (modified)List of Patents and Publications  
For Applicant's Information

Disclosure Statement

(Use several sheets if necessary)

ATTY. DOCKET NO: 5226-02200

SERIAL NO: 09/970,078

APPLICANT: John Bunda

FILING DATE: October 3, 2001

GROUP: 2163

**U.S. PATENT DOCUMENTS**

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	D1	6,317,728 B1	11/13/01	Kane			
	D2	5,819,238	10/06/98	Fernholz			
	D3	5,640,505	06/17/97	Hearn et al.			

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**GROUP 3600****FOREIGN PATENT DOCUMENTS**

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

	D4	International Search Report, PCT/US02/16267, mailed August 20, 2002.					

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.